

15992 U.S. PTO  
020304

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EV301024837US

Docket No. B-4246DIV 621598-8

Anticipated Classification  
of this application

Class \_\_\_\_\_ Subclass \_\_\_\_\_

Prior application: 10/116.800

Examiner: Mai Huong C. Tran

Art Unit: 2819

22264 U.S. PTO  
10/772112

020304

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**CONTINUATION OR DIVISIONAL FILING UNDER 37 C.F.R. § 1.53(b)**

This is a request for filing a

☐ Continuation ☒ Divisional

application under 37 C.F.R. § 1.53(b), of pending prior U.S.  
Application Serial No. 10/116.800 filed on April 5, 2002 of Daniel  
YAP for "WAVEGUIDE-BONDED OPTOELECTRONIC DEVICES".

1. Prior Application

☒ I hereby verify that the attached papers are a true copy  
of what is shown in my records to be the above-  
identified prior application (USSN 10/116.800),  
including 17 pages of specification, 7 pages of claims,  
1 page of abstract, the oath or declaration (4 pages),  
and 4 sheets of drawings (Figs. 1, 1a, 2a-2d, 3a-3c) as  
originally filed. The attached true copy constitutes  
the above-identified divisional application (please also  
see 8 for drawing requirements.)

NOTE: Under 37 C.F.R. § 1.53(b) practice, signing and execution of the application by the  
applicant may be omitted provided the application is a continuation or divisional which  
adds neither new matter nor new inventors to the parent application, and a copy of the  
original declaration or oath from the parent application is supplied with the new  
application - 37 C.F.R. § 1.63(d)(1)

**CERTIFICATION UNDER 37 C.F.R. § 1.10**

I hereby certify that this paper and the documents referred to as attached therein are  
being deposited with the United States Postal Service on this date February 3, 2004 in an  
envelope as "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing  
Label Number EV301024837US addressed to the

\*Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Suzanne Johnston

(Type or print name of person mailing paper)

(Signature of person mailing paper)

NOTE: Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed  
thereon prior to mailing - 37 C.F.R. § 1.10(b).

of the  
prior application before calculating the filing fee.

☒ A preliminary amendment is enclosed.

NOTE: Only amendments reducing the number of claims will be entered before calculating the final fee.

3. Fee Calculation

CLAIMS FOR FEE CALCULATION			
Number Filed	Number Extra	Rate	Basic Fee
Total			\$770.00
Claims	25 -20=	5 x \$ 18.00	90.00
Independent			
Claims	1 -3=	0 x \$ 86.00	0
Multiple dependent			
Claim(s), if any		0 x \$ 290.00	0

☐ The fee for extra claims is not being paid at this time.

NOTE: If the fees for extra claims are not paid on filing they must be paid or the claims canceled by amendments, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency. 37 C.F.R. § 1.16(d).

Filing fee calculation \$ 860.00

4. Small Entity Status

☐ a verified statement that this is a filing by a small entity is attached.

☐ a verified statement has previously been filed in the parent application (37 C.F.R. § 1.28 (a)).

Filing fee calculation (50% of above) \$ \_\_\_\_\_

NOTE: If a verified statement is filed within two (2) months of the date of payment of the first fee then the excess fee paid will be refunded on request. Notice of January 20, 1983. 1027 TMOG 114.

5. Fee Payment Being Made At This Time

Not enclosed

☐ no filing fee is submitted. This and the surcharge required by 37 C.F.R. § 1.16(e) can be paid subsequently.

Enclosed

☒ filing fee

\$ 860.00

6. Method of Payment of Fees

☒ enclosed is a check in the amount of \$ 860.00

☐ charge account number 12-0415 in the amount of \$ \_\_\_\_\_

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid - 37 C.F.R. § 1.22(b)

7. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge the following additional fees which may be required to Account No. 12-0415:

- ☒ 37 C.F.R. § 1.16 (filing fees and presentation of extra claims)
- ☒ 37 C.F.R. § 1.17 (application processing fees)
- ☐ 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b)).

NOTE: 37 C.F.R. § 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application...prior to paying...issue fee."

8. Drawings

- ☐ Transfer the drawings from the prior application to this application and abandon said prior application as of the filing date accorded this application. A duplicate copy of this request is enclosed for filing in the prior application file. (May only be used if signed by (1) the applicant, (2) the assignee of record or (3) the attorney or agent of record authorized by 37 C.F.R. § 1.138 and before payment of issue fee.)

NOTE: ~~DO NOT~~ check this box if prior case is not to be abandoned.

- ☐ Transfer the following sheet(s) of drawings from the prior application to this application \_\_\_\_\_

NOTE: Transferring sheets must be cancelled in prior application 37 C.F.R. § 1.88

- ☒ Drawings are enclosed (see true copy of prior application USSN 10/116,800)

9. Priority - 35 U.S.C. 119

- ☐ Priority of application Serial No. \_\_\_\_\_ filed on \_\_\_\_\_ in \_\_\_\_\_ is claimed under 35 U.S.C. 119.

- ☐ The certified copy has been filed in U.S. Application No. \_\_\_\_\_ filed on \_\_\_\_\_.

10. Relate Back - 35 U.S.C. 120

The Preliminary Amendment presents an amendment to the specification to relate this divisional application to its parent.

11. Assignment

- ☒ The prior application is assigned of record to HRL Laboratories, LLC

- ☒ Attached is the following number of Assignments: 1 and respective **new** Cover Sheets. (Do **NOT** file old cover sheets.)

12. Power of Attorney

CUSTOMER NO.: 36716

- prior application      original papers in the
- b. ☐ Since the power does not appear in the original papers, a copy of the power in the prior application is enclosed.
- c. ☐ A copy of the executed Supplemental Declaration/Power is enclosed herewith.
- d. ☒ Address all future communications to:

Richard P. Berg  
c/o LADAS & PARRY  
5670 Wilshire Boulevard, Suite 2100  
Los Angeles, California 90036-5679


- e. ☐ An Associate Power of Attorney has been executed and is attached.  
(May only be completed by applicant, or attorney or agent of record).

13. Maintenance of Copendency of Prior Application

- ☐ A petition, fee and response has been filed to extend the term in the pending prior application \_\_\_\_\_ until \_\_\_\_\_.

14. An Information Disclosure Statement is enclosed herewith.

February 3, 2004  
Date

  
Signature  
Richard P. Berg  
Registration No. 28,145

Address of Signatory

c/o LADAS & PARRY  
5670 Wilshire Boulevard  
Suite 2100  
Los Angeles, Ca 90036-5679  
Telephone No. (323) 934-2300  
Telefax No. (323) 934-0202

- ☐ Inventor(s)  
☐ Assignee of complete interest  
☒ Attorney or agent of record  
☐ Filed under Rule 34(a)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

REGARDING THE U.S. PATENT APPLICATION OF:

Daniel YAP

ENTITLED: "WAVEGUIDE-BONDED OPTOELECTRONIC DEVICES"

New U.S. Divisional patent application based on USSN 10/116,800

Our Ref: B-4246DIV 621598-8

MAIL STOP PATENT APPLICATION

Commissioner for Patents

P.O. BOX 1450

Alexandria, VA 22313-1450

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EV301024837US

Date of Deposit: February 3, 2004

I hereby certify that the following attached papers or fee:

- postcard
- check no. 18402 for \$860.00
- Transmittal letter with Certification under 37 CFR 1.10 (4 pages)
- Preliminary amendment (10 pages)
- True copy of parent application U.S. Patent Appln. No. 10/116,800 consisting of: 17 pages of specification, 7 pages of claims, 1 page of abstract, the oath or declaration (4 pages), and 4 sheets of drawings (Figs. 1, 1a, 2a-2d, 3a-3c) as originally filed
- Information Disclosure Statement with Form PTO-1449 (modified) (4 pages total)
- Assignment document (2 pages) with Cover Sheet (1 page), and check no. 18403 for \$40.00

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. BOX 1450, Alexandria, VA 22313-1450.

Suzanne Johnston

(Typed or printed name of person mailing paper or fee)

(Signature)

